



SAGE-26,407

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Vincent Alan Larsen

Serial No.: 10/635,755

Filed: August 5, 2003

Group: To Be Assigned

Examiner: To Be Assigned

For: FINANCIAL TRANSACTION SERVER WITH PROCESS-BASED SECURITY

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David C. Cain

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In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, attached please find a Form PTO SB/08 listing information for consideration by the Office in connection with its examination of the above-captioned patent application.

Applicant requests that this information disclosure statement be considered and that a copy of the Form PTO SB/08 be returned to the undersigned indicating the consideration of each document listed.

**REMARKS**

Applicant submits that no representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of these materials in any way reflects their relevant pertinence. The listing on the attached Form PTO SB/08 is not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that any of the items listed are properly citable against the above-identified application as prior art. Applicant

INFORMATION DISCLOSURE STATEMENT

Serial No. 10/635,755

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respectfully submits that his invention is patentable over the enclosed documents listed on Form PTO SB/08.

To Applicant's knowledge, this information disclosure statement is being filed before the mailing date of a first Office Action on the merits. Therefore, pursuant to 37 C.F.R. §1.97(b)(3), no fee is believed necessary for its consideration. Please charge any necessary fees or deficiencies in fees necessary for the filing of this paper or credit any overpayment to Deposit Account No. 20-0780/SAGE-26,407 of HOWISON & ARNOTT, L.L.P.

Respectfully submitted,

HOWISON & ARNOTT, L.L.P.  
Attorneys for Applicant

A handwritten signature in black ink that reads "David C. Cain". The signature is written in a cursive, flowing style.

David C. Cain  
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November 6, 2003

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**Complete if Known**

<b>Application Number</b>	10/635,755
<b>Filing Date</b>	August 5, 2003
<b>First Named Inventor</b>	Vincent Alan Larsen
Group Art Unit	TBA
Examiner Name	To Be Assigned
Attorney Docket Number	SAGE-26.407

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Sheet 1

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Attorney Docket Number

SAGE-26.407

[illegible][illegible]Date  
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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of **2**

### Complete if Known

Application Number	10/635,755
Filing Date	August 5, 2003
First Named Inventor	Vincent Alan Larsen
Group Art Unit	TBA
Examiner Name	To Be Assigned
Attorney Docket Number	SAGE-26,407

### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	1	W. WULF, R. LEVIN, C. PIERSON, "Overview of the Hydra Operating System Development", Proceedings of the Fifth Symposium on Operating Systems Principles, November 1975, pp. i-ii, 122-131, Association for Computing Machinery, Inc., New York	
	2	ELLIS COHEN and DAVID JEFFERSON, "Protection in the Hydra Operating System", Proceedings of the Fifth Symposium on Operating Systems Principles, November 1975, pp. i-ii, 141-160, Association for Computing Machinery, Inc., New York	
	3	LEE BADGER ET AL., "A Domain and Type Enforcement UNIX* Prototype", 5th UNIX Security Symposium, June 1995, pp. 127-140,	
	4	H. KRAWCZYK ET AL., "HMAC-MD5: Keyed-MD5 for Message Authentication", Network Working Group Internet Draft, March 1996, pp. i, 1-8	
	5	BART PRENEEL, "IP Authentication using Keyed MD5 / The ESP DES-CBC Transform", Katholieke Universiteit Leuven, Belgium, July 1995, pp. 1-4	
	6	P. METZGER, "IP Authentication using Keyed MD5", RFC 1828 (RFC1828), August 1995, pp. 1-5	
	7	Method and Apparatus for Controlling Access to Storage Device, Kamano, et al., Publication No. U.S. 2001/0047463 A1, Publication Date 11/29/2001	
	8	Null-Packet Transmission From Inside a Firewall to Open a Communication Window for an Outside Transmitter, Boyle, et al., U.S. 2003/0018912 A1, 01/23/2003	
	9	International Search Report, PCT/US03/02716, International Searching Authority (ISA/EP) 04/04/2003	

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Date  
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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